

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 7-2005)

ATTORNEY'S DOCKET NUMBER

5276-110US//P28,033-A-USA

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

HEREWITH **10/561027**INTERNATIONAL APPLICATION NO.  
PCT/US2004/019271INTERNATIONAL FILING DATE  
17 June 2004PRIORITY DATE CLAIMED  
17 June 2003

TITLE OF INVENTION

A TWO-STAGE ENERGY STORAGE DEVICE

APPLICANT(S) FOR DO/EO/US

Andrew C. Kular and Zuohang Zhu

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☒ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV 562-479 009 US**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5) <div style="font-size: 2em; font-weight: bold; text-align: center;">10/561027</div>	INTERNATIONAL APPLICATION NO. PCT/US2004/019271	ATTORNEY'S DOCKET NUMBER 5276-110US/P28,033-A-USA
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23. Other items or information:  
 Form PCT/IB/306 - PCT Notification of the Recording of a Change; Transmittal Letter adding inventor; newly Executed Declaration of Inventorship; "Replacement" First Page of the PCT Request and Continuation of Box No. III of the PCT Request; Response to Invitation to Correct Defects in Drawings and 3 new drawing sheets; Form PCT/ISA/237 - PCT Written Opinion

The following fees have been submitted:	CALCULATIONS	PTO USE												
24. <input checked="" type="checkbox"/> Basic national fee ..... \$300	\$ 300.00													
25. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article ..... \$0 All other situations. .... \$200	\$ 0.00													
26. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). . . \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority. .... \$100 International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB. .... \$400 All other situations. .... \$500	\$ 0.00													
<b>TOTAL OF 24, 25 and 26 =</b>	\$ 300.00													
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(i)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.														
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>Total Sheets</th> <th>Extra Sheets</th> <th>Number of each additional 50 or fraction thereof (round up to a whole)</th> <th>RATE</th> </tr> <tr> <td>16 - 100 =</td> <td>0 /50 =</td> <td>0</td> <td>x \$250.00</td> </tr> </table>	Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE	16 - 100 =	0 /50 =	0	x \$250.00	\$ 0.00					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE											
16 - 100 =	0 /50 =	0	x \$250.00											
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).														
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> <tr> <td>Total claims</td> <td>20 - 20 =</td> <td>0</td> <td>x \$50.00</td> </tr> <tr> <td>Independent claims</td> <td>2 - 3 =</td> <td>0</td> <td>x \$200.00</td> </tr> </table>	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	20 - 20 =	0	x \$50.00	Independent claims	2 - 3 =	0	x \$200.00	\$ 0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE											
Total claims	20 - 20 =	0	x \$50.00											
Independent claims	2 - 3 =	0	x \$200.00											
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00														
<b>TOTAL OF ABOVE CALCULATIONS =</b>		\$ 300.00												
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		\$ 150.00												
<b>SUBTOTAL =</b>		\$ 150.00												
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$ 0.00												
<b>TOTAL NATIONAL FEE =</b>		\$ 150.00												
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +		\$ 40.00												
<b>TOTAL FEES ENCLOSED =</b>		\$ 190.00												
		Amount to be \$												
		Amount to be \$												

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3040. A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Thomas J. Onka  
Synnestvedt Lechner & Woodbridge LLP  
P.O. Box 592  
Princeton, NJ 08542  
609-924-3773 phone  
609-924-1811 fax

  
SIGNATURE

Thomas J. Onka

NAME

42,053

REGISTRATION NUMBER

12/16/05  
DATE

10/561027  
IAP6 Rec'd PCT/PTO 16 DEC 2005

FILE NUMBER 5276-110US/P28,033-A-USA  
Express Mail Cert. No.: EV 562 479 090 US

"EXPRESS MAIL CERTIFICATE"

"Express Mail" Mailing Label Number: EV 562 479 0906 US

Express Mail Corporate Account Number: X085783

Date of Deposit: 12/16/05

Title: A TWO STAGE ENERGY STORAGE DEVICE

INVENTOR: Andrew C. Kular and Zuohang Zhu

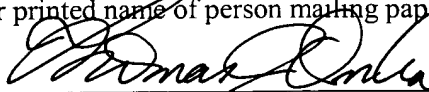
Type of Documents:

1. Application Data Sheet – 3 pages
2. Transmittal Letter to US Designated Office – 3 pages
3. USPTO Form 2038 – 1 page
4. Declaration and Power of Attorney – 3 pages
5. PCT International Search Report – 2 pages
6. Executed Assignment and Recordation Form – 3 pages
7. USPTO Form 2038 – 1 page
8. Preliminary Amendment – 7 pages
9. Clean Version of Application – 13 pages
10. 3 Sheets of Drawings –
11. International Published Application WO 2004/114433 A2 – 17 pages
12. PCT Notification of Recordation of a Change – 1 page
13. Transmittal Letter -1 page
14. Replacement first page of the PCT Request - 1 page
15. Continuation of Box III (Sheet No. 2) of PCT Request – 1 page
16. Executed and dated Declaration of Inventorship – 1 page
17. Response to Invitation to Correct Defects – 1 page
18. Replacement Drawing Sheets 1-3
19. PCT Request – 4 pages
20. PCT Written Opinion – 4 pages
21. Information Disclosure Citation
22. This "Express Mail" Certificate; and;
23. Acknowledgment Post Card.

I hereby certify that the enclosed documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents, Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450 – Mail Stop PCT

Thomas J. Onka, Esq.

(Typed or printed name of person mailing paper or fee)



(Signature of person mailing paper of fee)

10/561027

IAP6 Rec'd PCT/PTO 16 DEC 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
RECEIVING OFFICE/US

APPLICANT: ECOSOL SOLAR TECHNOLOGIES, INC.  
INTERNATIONAL APPLICATION NO.: PCT/US2004/019271  
INT'L FILING DATE: 17 June 2004  
TITLE: A TWO STAGE ENERGY STORAGE DEVICE

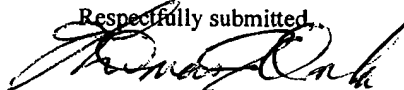
Commissioner of Patents and Trademarks  
P.O. Box 1450  
Alexandria, VA 22313-1450

RESPONSE TO INVITATION TO CORRECT DEFECTS  
IN THE INTERNATIONAL APPLICATION

Dear Sir:

In response to your Invitation to Correct Defects and Annex C1 to Form PCT/RO/106 mailed July 26, 2004, submitted herewith are replacement sheets 1 - 3 for Figs. 1 - 4 of the drawings with the appropriate corrections made. We believe that these substitute sheets now meet the PCT requirements and request is made to have these drawings accepted and made a part of Applicant's file.

Respectfully submitted,



Thomas J. Onka  
Reg. No. 42,053

Synnestvedt Lechner & Woodbridge, LLP  
P.O. Box 592  
Princeton, NJ 08542-0592

CERTIFICATE OF MAILING

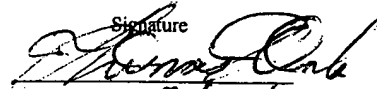
I hereby certify that this correspondence is being  
deposited with the United States Postal Service as first  
class mail in an envelope addressed to:

Commissioner of Patents,  
P.O. Box 1450, Alexandria, VA 22313-1450

Date of Deposit: 8/13/04

Name: Thomas J. Onka

Signature



Date of Signature: 8/13/04